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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	Not Yet Assigned
				Filing Date	August 29, 2001
				First Named Inventor	Paul A. Farrar
				Group Art Unit	2812
				Examiner Name	D. Zarneke
Sheet	1	of	1	Attorney Docket Number	M4065.0382/P382-A

10986 U.S. PTO 09/19/01 08/29/01

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
W	A	5,920,121		Forbes, et al.*	07/06/1999	
W	B	6,100,176		Forbes, et al.*	08/08/2000	
W	C	6,121,126		Ahn, et al.*	09/19/2000	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

Examiner Signature		Date Considered	9/16/02
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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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<p>Substitute for Form 1449, 1/1/2001</p> <p><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p> <p>(use as many sheets as necessary)</p>				<b>Complete if Known</b>	
				Application Number	09/940,792
				Filing Date	August 29, 2001
				First Named Inventor	Paul A. Farrar
				Group Art Unit	2812
				Examiner Name	D. Zarneke
Sheet	1	of	2	Attorney Docket Number	M4065.0382/P382-A

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
EL	A	5,963,838		Yamamoto et al.	10/15/1999	

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 2

### Complete if Known

Application Number	09/940,792
Filing Date	August 29, 2001
First Named Inventor	Paul A. Farrar
Group Art Unit	2812
Examiner Name	D. Zarneke
Attorney Docket Number	M4065.0382/P382-A

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
CL	B	F.A. Nichols, et al. - "Surface- (Interface-) and Volume-Diffusion Contributions to Morphological Changes Driven by Capillarity," Transactions of the Metallurgical Society of AIME, Volume 233, October 1965, pgs. 1840-1848*	
CL	C	Tsutomu Sato, et al. - "A New Substrate Engineering for the Formation of Empty Space in Silicon (ESS) Induced by Silicon Surface Migration," 1999 IEEE, pgs. 517-520*	
CL	D	U.S. Application, Serial No. 09/069,346 filed April 29, 1998, Attorney docket #303.367US1, pgs. 1-22 w/6 shts. drwgs.*	

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